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MLW/IRL/sgc/(dc)  
01/13/03

PATENT APPLICATION  
DOCKET NO.: 2337.1000-008

2152 #6  
BT  
01-23-03

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Jonathan Stern, Jeremy Rothman-Shore, Kosmas Karadimitriou, and Michel Decary

Application No.: 09/918,312      Group Art Unit: 2152

Filed: July 30, 2001      Examiner: Not assigned

Confirmation No.: 9847

Title: DATA MINING SYSTEM

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202	
on <u>January 13, 2003</u>	<u>Sharon G. Carlisle</u>
Date	Signature
Sharon G. Carlisle	
Typed or printed name of person signing certificate	

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Technology Center 2100

## INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or

(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or

(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☐ under 37 CFR 1.97(c) together with either:

☐ a Statement under 37 CFR 1.97(e), as checked below, or

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:

☐ a Statement under 37 CFR 1.97(e), as checked below, and

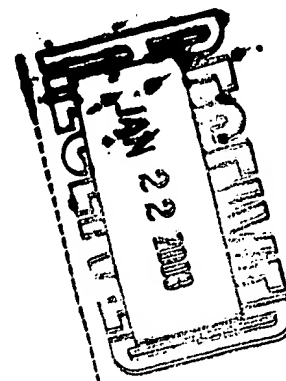
☐ a \$180.00 fee under 37 CFR 1.17(p), or

(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.

(Filed after payment of issue fee)



Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
  - ☐ the explanation provided in the Specification.
  - ☐ submission of the enclosed International Search Report.
  - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
  - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Mary Lou Wakimura

Mary Lou Wakimura

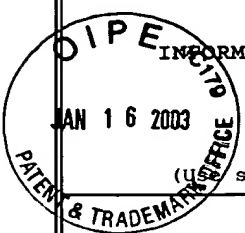
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Dated: 1/10/03



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INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

January 13, 2003

(Use several sheets if necessary)

ATTORNEY DOCKET NO.  
2937.1000-008

APPLICATION NO.  
09/918,312

APPLICANT  
Jonathan Stern, et al.

FILING DATE  
July 30, 2001

CONFIRMATION NO.  
9847

GROUP  
2152

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL		DOCUMENT NUMBER	ISSUE DATE / PUBLICATION DATE	NAME
	AA	5,895,470	04/20/99	Pirolli, et al.
	AB	5,918,236	06/29/99	Wical, K.
	AC	5,924,090	07/13/99	Krellenstein, M.F.
	AD	6,094,653	07/25/00	Li, et al.
	AE	6,112,203	08/29/00	Bharat, et al.
	AF	6,122,647	09/19/00	Horowitz, et al.
	AG	6,260,033	07/10/01	Tatsuoka, C.M.
	AH	6,336,108	01/01/02	Thiesson, et al.
	AI	6,418,432	07/09/02	Cohen, et al.
	AJ			
	AK			

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FOREIGN PATENT DOCUMENTS

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	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	AL					
	AM					
	AN					

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	ABCNEWS.com, April 28, 1999. <a href="http://web.archive.org/web/19990428185649/abcnews.go.com/">http://web.archive.org/web/19990428185649/abcnews.go.com/</a>
AS	COMPAQ, April 22, 1999. <a href="http://web.archive.org/web/19990422222242/www.compaq.com/">http://web.archive.org/web/19990422222242/www.compaq.com/</a>
AT	Dwi H. Widyanoro, Thomas R. Ioerger, John Yen. "An Adaptive Algorithm for Learning Changes in User Interests". Nov. 1999. ACM. pg. 405-412.
AU	Soumen Chakrabarti, Byron Dom, Piotr Indyk. "Enhanced hypertext categorization using hyperlinks". 1998 ACM. pgs. 307-318.
AV	Sahami, M. et al., "SONIA: A Service for Organizing Networked Information Autonomously," 3rd ACM Conference on Digital Libraries, Digital 98 Libraries, June 23-26, 1998, pp. 200-209.
AW	Nir Friedman, Moises Goldszmidt, "Building Classifiers using Bayesian Networks". From Proceedings of the National Conference on Artificial Intelligence (AAAI96). pgs. 1277-1284.

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DATE CONSIDERED

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2937.1000-008APPLICATION NO.  
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Jonathan Stern et al.FILING DATE  
7/30/01CONFIRMATION NO.  
9847GROUP  
2152

January 13, 2003

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AX	Pazzani, M. et al., "Learning from hotlists and coldlists: Towards a WWW information filtering and seeking agent," <i>Proc. International Conference on Tools with Artificial Intelligence</i> , Los Alamitos, CA, 1994, pp. 492-495.
AY	Lam, W. and K. Low, "Automatic Document Classification Based on Probabilistic Reasoning: Model and Performance Analysis," <i>1996 IEEE Conference on Computational Cybernetics and Simulation</i> , Orlando, FL 1997, pp. 2719-2723.
AZ	PCT International Search Report PCT/US01/22385, 12/18/02 (4 pp).

EXAMINER

DATE CONSIDERED